

BROKER / DEALERS >>

Company Name Location Web Address	Years in business	Number of producers	Total assets managed by producers	Minimum Production level required (in thousands)	Clearing Firm(s)	\$ Total revenue (in millions)
Berthel Fisher & Company Financial Services, Inc. Marion, Iowa www.berthel.com	25	337	\$1.6 billion	\$50	First Clearing, National Financial, Pershing	50,780
Broker Dealer Financial Services Corp Johnston, Iowa www.bdfs.com	30	323	\$2.5 billion	\$100	First Clearing, LLC	
Cadaret, Grant & Co., Inc. Syracuse, N.Y. www.cadaretgrant.com	24	820		\$125	BNY Pershing	121,768
Cambridge Investment Research, Inc. Fairfield, Iowa www.joincambridge.com	27	1315	\$13 billion (fee only)	\$125	Pershing, NFS	241,900
Cantella & Co., Inc. Boston, Mass. www.cantella.com	57	240	\$5 billion	\$100	National Financial, Pershing, JP Morgan, Raymond James	
Capital Analysts Incorporated Cincinnati, Ohio www.capitalanalysts.com	41	342	\$6.1 billion	\$25	NFS 2008 / Pershing 2009	64,055
Capital Financial Group/H. Beck, Inc. Rockville, Md. www.cfginc.com	28	811	N/A	\$25	Pershing	70,256
cdf Investments, Inc. Kokomo, Ind. www.joincfd.com and www.cfdinvestments.com	20	180	\$1.3 billion	\$25	RBC CS NFS	20,000
Commonwealth Financial Network Waltham, Mass. & San Diego, Calif. www.commonwealth.com	30	1231	\$39.6 billion	\$200	National Financial Service LLC, Pershing	518,547
Correll Co. Investment Services Corp. Hickory Hills, Ill. www.cciscinvestments.com	24	7		\$20	Southwest Securities	1,000
Eagle One Investments, LLC Washington, Iowa www.joineagleone.com	11	60	\$1.5 billion	\$30	Mesirow Financial	8,500
Ensemble Financial Services Rochester, N.Y. www.ensemblefs.com	23	115		\$0	National Financial	10,200
Equitas America, LLC Farmington Hills, Mich. www.equitasusa.com	14	65			Pershing & JP Morgan	6,600
Financial Network Investment Corporation El Segundo, Calif. www.financialnetwork.com	26	2375	\$34 billion	\$0	Pershing	368,501
Fintegra Financial Solutions Minneapolis, Minn. www.Fintegra.com	11	275	\$2.2 billion	\$50	Pershing and Schwab Institutional	17,000
First Allied Securities, Inc. San Diego, Calif. www.joinfasi.com / www.firstallied.com	15	667	\$4.1 billion	\$150	Pershing, LLC and J.P. Morgan Clearing Corp.	240,800
First Midwest Securities, Inc Bloomington, Ill. www.firstmidwestsecurities.com	20	190	\$1.5 billion	\$100	Pershing and Legent	20,000
FSC Securities Corp. Atlanta, Ga. www.joinfsc.com	50	1299	\$30 billion	\$150	Pershing	323,645
Geneos Wealth Management, Inc. Centennial, Colo. www.geneoswealth.com	7	270	\$6.2 billion	\$150	Pershing NFS	68,064
Genworth Financial Securities Corp. Schaumburg, Ill. www.genworthfinancialsecurities.com	28	2079	\$11.5 billion	N/A	Pershing LLC.	114,816
H.D. Vest Financial Services Irving, Texas www.hdvest.com	25	5447	\$21 billion		Wells Fargo Investments, LLC	260,837
Harbour Investments Madison, Wis. www.harbourinv.com	22	194	\$2.7 billion	\$45	Pershing, Wedbush, Morgan	23,800
Independent Financial Group San Diego, Calif. www.ifgsd.com	5	275	\$653.6 million	\$100	Pershing	34,017

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ING Financial Partners Des Moines, Iowa www.ingfinancialpartners.com	41	2057	\$16.6 billion	\$30	Pershing	255,908
INVEST Financial Corporation Tampa, Fla. www.investfinancial.com	27	1214	\$1.6 billion	*	Pershing and National Financial	169,982
Investment Centers of America, Inc. Bismarck, N.D. www.investmentcenters.com	24	332	\$631 million	N/A	Pershing	63,138
Investors Capital Corporation Lynnfield, Mass. www.investorscapital.com	17	663	\$5.7 billion	\$100	Pershing	86,234
J.P. Turner & Company, LLC Atlanta, Ga. www.jpturner.com	12	535	\$1.6 billion	\$10	National Financial Services	
John Hancock Financial Network - Signator Investors Inc. Boston, Mass. www.jhnetwork.com	40	1892	\$2.8 billion	N/A	National Financial	211,500
Kovack Securities & Kovack Advisors Ft. Lauderdale, Fla. www.kovsec.com	12	275		\$30	NFS/Fidelity, Pershing, TD Ameritrade, Schwab	25,000
LaSalle St. Securities LLC Elmhurst, Ill. www.lasallest.com	35	300	\$3.8 billion	\$80	National Financial Services LLC	41,107
LifeMark Securities Corp. Rochester, N.Y. www.lifemark.com	26	160		\$25	NFS	10,000
Lincoln Financial Network Philadelphia, Pa. www.joinlfn.com	41	7402	\$10 billion	\$25	National Financial, Pershing	761,962
LPL Financial San Diego, Calif. www.joinlpl.com	19	11920	\$233.9 billion	\$125	Self-clearing, Pershing, Mesirow	3,100,000
M Holdings Securities, Inc. Portland, Ore. www.mfin.com	9	628	\$15.6 billion	\$0	Pershing	139,024
MetLife Securities † New York, N.Y. www.metlife.com	25	7022	\$38 billion	None	Pershing	414,187
Multi-Financial Securities Corporation Denver, Colo. www.multifinancial.com	29	821	\$12.4 billion	\$100	Pershing	162,369
National Planning Corporation Santa Monica, Calif. www.natplan.com	11	1339	\$3.4 billion	\$250	Pershing	254,954
New England Securities † Boston, Mass. www.nef.com	40	2278	\$3.3 billion	None	Pershing	214,925
Northwestern Mutual Milwaukee, Wis. www.northwesternmutual.com	41	5819	\$48.7 billion**		Pershing, LLC	455,744
Pacific West Financial Group Renton, Wash. www.pwfinancial.com	37	336		\$100	Pershing, National Financial	51,857
PlanMember Securities Carpinteria, Calif. www.JoinPlanMember.com	27	400	\$2.5 billion	\$35	Pershing	34,651
Pointe Capital, Inc. Boca Raton, Fla. www.PointeCapital.com	5	125	\$750 million	\$50	Legent Clearing, RBC, Penson	16,000
Prime Capital Services, Inc. Poughkeepsie, N.Y. www.primefs.com and www.gtax.com	23	198	\$3.2 billion	\$100	National Financial Services (NFS)	37,766
PRIMEVEST Financial Services, Inc. St. Cloud, Minn. www.primevest.com	24	1806	\$21.2 billion	None	Self-clearing	212,714
Princor Financial Services Corporation Des Moines, Iowa www.princor.com	41	2410	\$1.5 billion	\$12,000 net commission	Pershing, LLC	289,294

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ProEquities, Inc. Birmingham, Ala. www.proequities.com	25	950		\$20	Pershing	94,164
Prospera Financial Services Dallas, Texas www.prosperafinancial.com	26	120	\$650 million	\$300	First Clearing Corporation	24,000
Protected Investors of America, Inc. San Francisco, Calif. www.protectedinvestors.com	75	60	\$1.8 billion	N/A	National Financial Services	
QA3 Financial Omaha, Neb. www.qa3.com	10	480	\$1.6 Billion	None	Pershing, TD Ameritrade, Legent, and Schwab.	72,253 consolidated
Questar Capital Corporation Minneapolis, Minn. www.questarcapital.com	12	675	\$3 billion	\$25	Pershing LLC	64,500
Raymond James Financial Services, Inc. St. Petersburg, Fla. www.advisorchoice.com	35	3125	\$96.3 million	\$250	Raymond James & Associates	1,010,200
Royal Alliance New York, N.Y. www.royalalliance.com	19	1883	\$38.5 billion	\$0	Pershing	448,317
SagePoint Financial, Inc. Phoenix, Ariz. www.sagepointfinancial.com	38	2349	\$27.2 billion	\$250	Pershing	369,709
Sammons Securities Company, LLC Sioux Falls, S.D. www.sammonssecurities.com	7	592	\$1.3 billion	\$25	First Clearing	46,000
Securities America, Inc. La Vista, Neb. www.securitiesamerica.com	25	1904	\$11.2 billion	\$150	National Financial Services, LLC Pershing, LLC	484,920
Securities Service Network, Inc. Knoxville, Tenn. www.joinSSN.com	26	425	\$2.5 billion	\$40	National Financial Services LLC & Pershing LLC	78,563
Sigma Financial Corporation Ann Arbor, Mich. www.sigmafinancial.com	26	605	\$760 million	\$50	First Clearing, LLC	91,415
SI Investments, Inc. Appleton, Wis. www.siionline.com	40	524	\$1.6 billion	\$150	Pershing	119,583
Spire Investment Partners McLean, Va. www.joinspire.com	12	22	\$750 million	\$150	National Financial Services	8,000
Summit Brokerage Services Inc. Boca Raton, Fla. www.summitbrokerage.com	16	265	\$4 billion	\$150	First Clearing and Pershing	34,000
The O.N. Equity Sales Co. Cincinnati, Ohio www.onesco1.com	40	922	\$4 billion	\$10	Pershing	49,377
Tower Square Securities † Bloomfield, Conn. www.towersquare.com	30	522	\$490.6 million	None	Pershing	55,347
Trustmont Financial Group Inc. Greensburg, Pa. www.trustmontgroup.com	23	135	\$1+ billion	None	Mesirow Financial	
United Planners Financial Services Scottsdale, Ariz. www.JoinUnitedPlanners.com	21	314	\$1.7 billion	\$75	Pershing, LLC RIA Assets: TD Ameritrade, Charles Schwab and Fidelity	37,955
Waddell & Reed, Inc. Overland Park, Kan. www.waddell.com	72	2152	\$23.5 billion	\$35	Pershing and self clearing	241,330
Wall Street Financial Group Fairport, N.Y. www.wsf.com	15	179	\$1.5 billion	\$100	National Financial and Pershing	22,997
Walnut Street Securities † St. Louis, Mo. www.walnutstreet.com	23	807	\$13 billion	None	Pershing	120,645

* \$150 for OSJs; N/A for reps

** Assets represent programs of Northwestern Mutual Wealth Management

† A part of the MetLife Broker-Dealer Group

This list represents those companies that chose to participate and has been edited for space.